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The Horn of Africa Resilience Network (HoRN)

REGIONAL RESILIENCE FRAMEWORK 3.0

Regional Resilience Framework 3.0



The authors' views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

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List of Acronyms

BSF	Backbone Support Function
CLA	Collaboration, Learning, and Adapting
DRM	Disaster Risk Management
ENRM	Environmental and Natural Resource Management
HoRN	Horn of Africa Resilience Network
ICT	Information and Communications Technology
IDDRSI	IGAD's Drought Disaster Resilience and Sustainability Initiative
IGAD	Intergovernmental Authority on Development
IRs	Intermediate Results
NRM	Natural Resource Management
PfRR	Partnership for Recovery and Resilience
SLI	Sequencing, Layering, and Integration
USAID/KEA	United States Agency for International Development / Kenya and East Africa
WASH	Water, Sanitation, and Hygiene

I | Overview

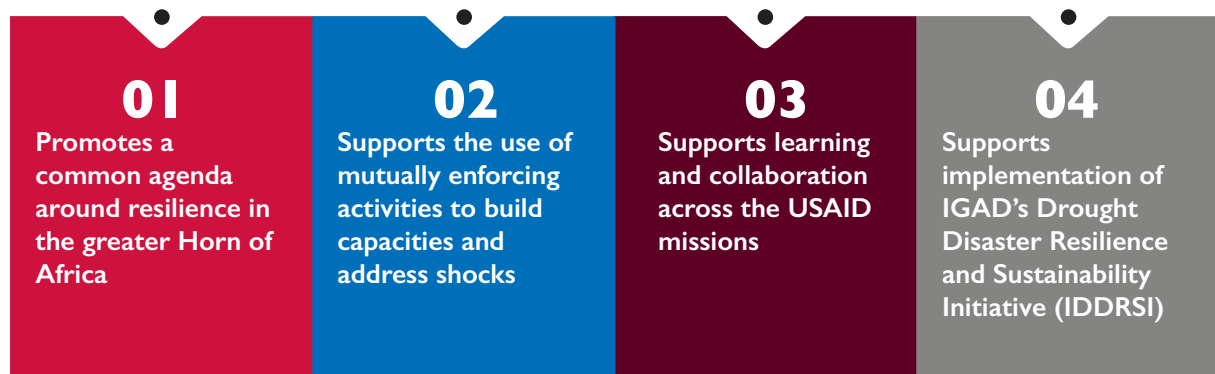
The Horn of Africa Resilience Network (HoRN), formerly known as Horn of Africa Joint Planning Cell, was established in late 2011. Coordinated by the resilience team at the United States Agency for International Development / Kenya and East Africa (USAID/KEA), the HoRN supports USAID's mission to end extreme poverty and promote resilient, democratic societies.

The HoRN comprises six USAID missions in East Africa including: Ethiopia, South Sudan, Uganda, Somalia, DRC, and Kenya and East Africa. Zimbabwe and Malawi are currently represented as observers.

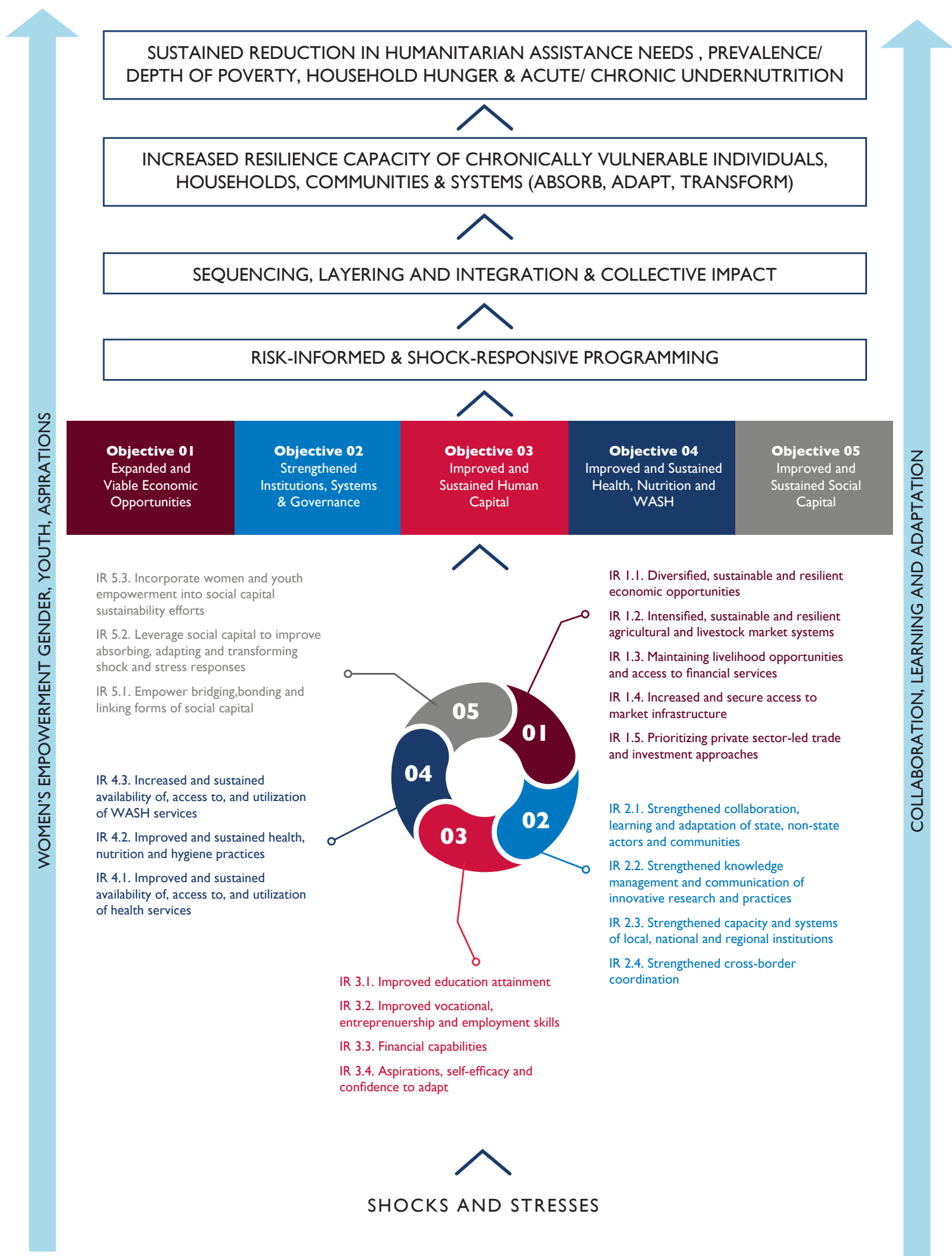
The HoRN also consists of USAID implementing partners with programs operating in the resilience-focused and aligned zones of influence. The HoRN includes national governments and regional institutions such as the Intergovernmental Authority on Development (IGAD), development partners, and other donors.¹

The main goal of the HoRN is to strengthen regional and cross-border collaboration and improve evidence-based learning through the following four guiding principles:

HoRN Guiding Principles



From 2012 to 2016, the HoRN used the Regional Resilience Framework 2.0 to guide resilience investments. Informed by evidence and learning over the last four years and as a demand-driven product, the Regional Resilience Framework 3.0 will serve as a common reference for resilience programming throughout the region. It will inform program design to ensure that they are risk-informed and shock-responsive. The framework has real value if USAID missions and partners understand the kinds of objectives and goals that resilience programming strives to achieve. The following narrative elaborates the framework. We anticipate that it will generate critical thinking that leads to action for those who use resilience as a lens through which to have a positive impact on vulnerable individuals, households, communities, and systems.



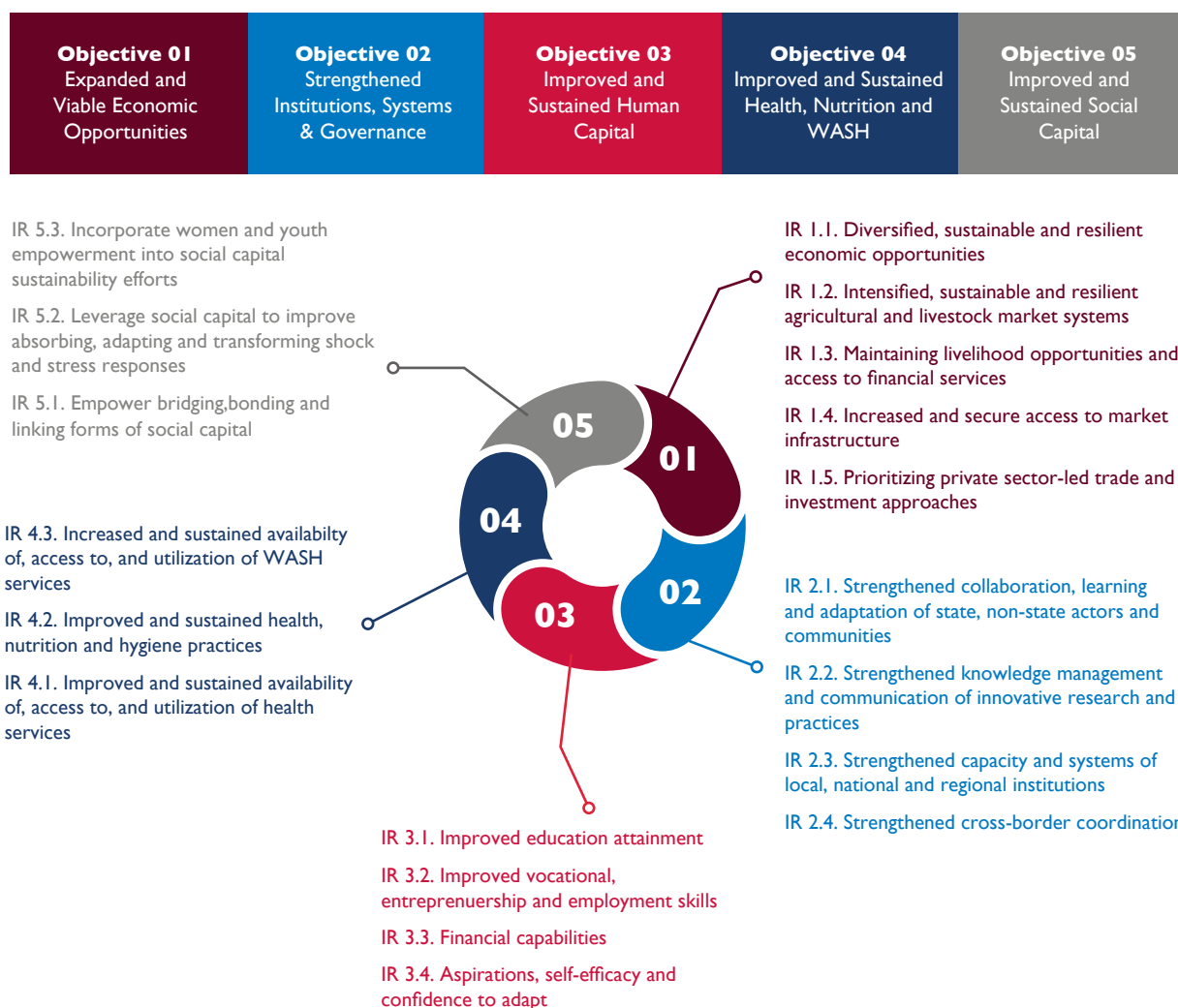
VISION: People, households and communities in the Horn of Africa drylands escape poverty and chronic vulnerability and are resilient in the face of recurrent shocks and stresses.

THEORY OF CHANGE: The Framework is built around a theory of change that states if we collaborate, use risk-informed and shock-responsive approaches to strengthen and leverage social and natural capital, women's empowerment, youth and aspirations to expand viable economic opportunities, strengthen institutions, systems and governance; and improve and sustain human capital—then vulnerable households, communities and ecosystems will be more resilient in the face of shocks and stresses.

The vision suggests achievement of a range of positive impacts that contribute to economic prosperity and sustainability, such as sustained reductions in humanitarian assistance needs, prevalence/depth of poverty, household hunger and acute/chronic undernutrition. These impacts are the high-level indicators for the USAID resilience approach.

OUTCOME: Increased resilience of chronically vulnerable individuals, households, communities and systems (absorptive, adaptive, and transformative capacities).

2 | Resilience Program Objectives and Intermediate Results

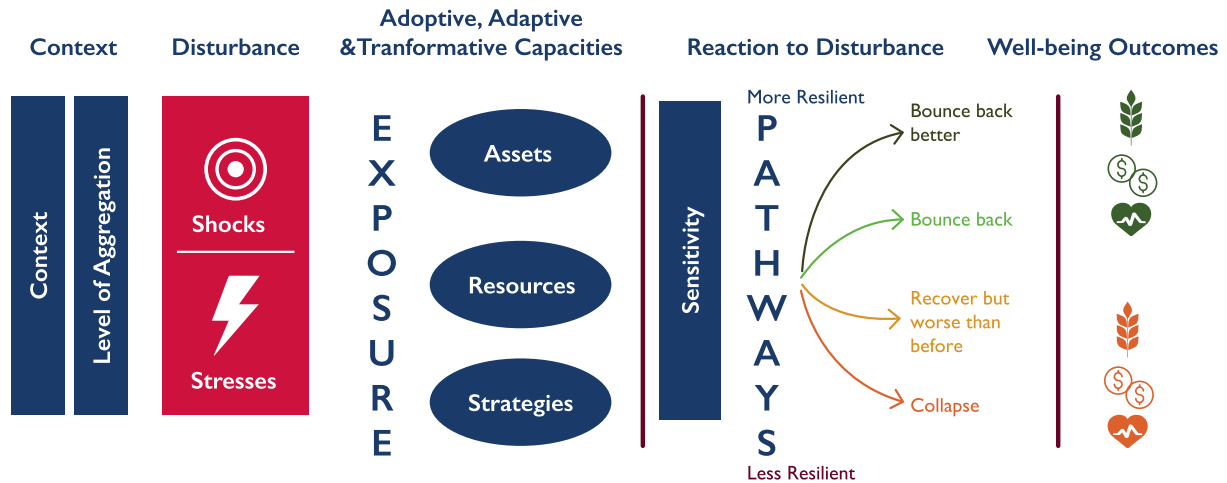


The Framework consists of five objectives supported by 19 intermediate results (IRs). The arrangement of objectives and IRs in the framework demonstrates that, in addition to the hierarchical relationship between IRs, objectives, and intermediate and topline goals, relationships exist between objectives. Many IRs contribute to multiple objectives.

Each objective and IR include the concept of contributing to the long-term outcome of inclusive growth for populations. Each also contributes to building the resilience capacities (assets, resources and strategies) that enable growth and other well-being outcomes to be achieved and sustained in the face of shocks and stresses common to the risk environments in the drylands of the Horn of Africa.

As USAID and partners contribute to inclusive growth in an environment where shocks (small, medium, and large covariate shocks and idiosyncratic shocks) are a constant feature, it is essential that progress is resilient to the negative impacts of these shocks and stresses. Therefore, almost all IRs and objectives include a focus on a sustained, viable, reliable, or secure result of the activities contributing to that IR and objective. In this context, this idea encapsulates the issue of sustainability, but also includes resilience of the activities to shocks and stresses.

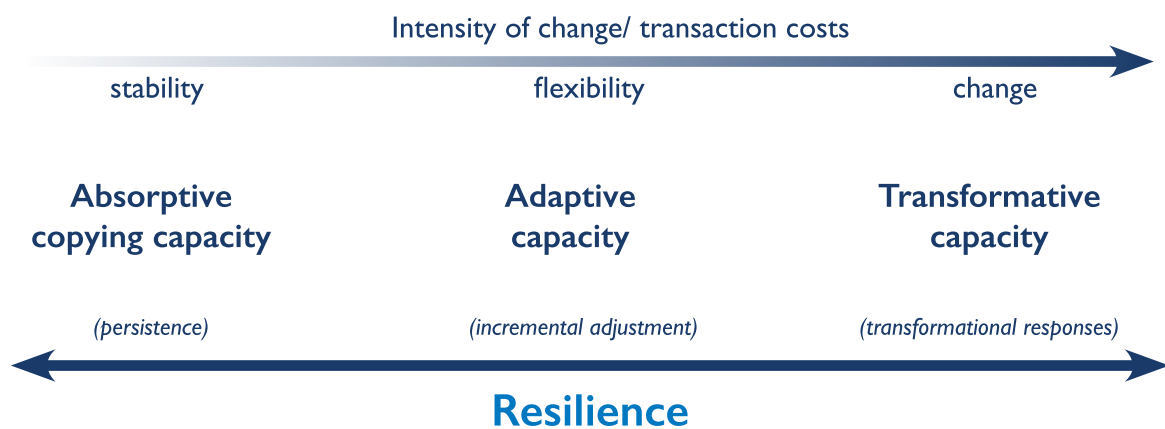
The Regional Resilience Framework 3.0 is aligned to the USAID's Environmental and Natural Resource Management (ENRM) Framework given the critical importance of stewardship of environmental and natural resources to self-reliance in the greater Horn of Africa region.



Derived from a 201 article by T.R. Frankenberger included in the no.7 paper of “Building Resilience for Food & Nutrition Security”

Throughout this framework, reference is made to three types of capacities and responses to resilience—absorptive, adaptive, and transformative capacity. Operationally, sources of resilience are captured by the context-specific capacities and responses that individuals, households, and communities use in the face of shocks and stresses. Resilience capacities are resources, strategies, and behaviors that include:²

- **Absorptive Capacity** is the ability to minimize the extent of exposure to shocks and stresses and to recover quickly when exposed. It can be thought of as the ability to manage shocks or stressors in the short term.
- **Adaptive Capacity** involves making proactive and informed choices about alternative livelihood strategies based on changing conditions. Households with strong adaptive capacity are able to respond flexibly to longer-term social, economic, and environmental change, relying on solid foundations of human, social and economic capital.
- **Transformative Capacity** relates to governance mechanisms, policies/regulations, infrastructure, community networks, and formal safety nets that are part of the wider system in which households and communities are embedded.



Of note, these three descriptions of resilience capacities are not mutually exclusive. They occur at the same time, progress from one to the other and reinforce or weaken each other.

Objective I – Expanded and Viable Economic Opportunities

USAID and its partners expand viable economic opportunities by engaging the private sector and supporting the development of market systems as well as risk-diversified, and intensified livelihood opportunities. The private sector is key in expanding sustainable economic opportunities. The goal of this commitment is to achieve sustainable and viable improvements in income, food security, accumulation of assets and capacity to absorb and adapt to shocks and stresses. As a result, USAID and its partners contribute to increased and sustained economic well-being, in a dynamic complex geographic region. In a context where market systems and livelihoods in the arid lands are changing rapidly, four factors need to be taken into account:

- 1) access to efficient and resilient markets;
- 2) the skills and knowledge to compete in markets;
- 3) youth aspirations and employment; and
- 4) women's empowerment.

A mix of efforts is needed to support market systems and livelihoods to ensure flexibility in the event of shocks. A range of risk-informed options to strengthen resilience capacities, facilitate inclusive and economic growth, and achieve sustainable improvements in well-being is also required.

IR 1.1. Diversified, sustainable and resilient economic opportunities

Developing and/or strengthening market systems and diversifying livelihood options provides new sources of income and livelihood. For those with access to livestock and/or productive land, strengthened market systems can generate expanded economic opportunities related to production, trade or distribution, service provision, and value addition. For those with limited or no access to livestock or productive land, enterprise opportunities associated with market systems and diversified livelihoods provide a critical source of income and increased resilience capacity.

Ensuring strengthened market systems and diversified livelihoods include options that are less susceptible to climatic shocks, notably drought, commodity price variability, and other significant sources of market and livelihood shock (for example, conflict and insecurity). This leads to a reduction of covariate risks by vulnerable communities relying on the same limited set of climate-sensitive economic activities. Efforts to aid market systems strengthening and diversification of livelihood options should be context-specific and aware of the enabling environment, including the political economy, to take advantage of selected economic opportunity options. Access to economic opportunities related to market systems and livelihoods, including less climate-sensitive options, bolsters the sustainability of economic well-being. These economic opportunities include employment in rural and urban settings, both in and beyond the agriculture and livestock sectors.

ACCESS TO FINANCIAL SERVICES: During the 2016 El Niño-induced drought crisis in Ethiopia, partners found that increased access to financial services in an extremely vulnerable area and population resulted in increased resilience capacities. Yet when the drought reached its peak, the crisis environment accentuated administrative bottlenecks in the financial services mechanism developed with support of the USAID partner. The result was that at the peak of the shocks' impact on people's financial resilience, access to financial services was no longer available. Based on this lesson learned, the mechanism was adapted mid-course to ensure that in addition to increasing access to financial services, this access is also secure during any future shocks.

IR 1.2. Intensified, sustainable, and resilient agricultural and livestock market systems

Livestock production and trade is a major source of income for the majority of households in the Horn of Africa, but especially among poor households. The sector requires private sector engagement and support to improve the overall market system—including supply of inputs, production, marketing/distribution, and service provision (e.g., animal health services, financial services, business development services). Strengthening the private sector would reduce the pressure on the fragile environment, create jobs, and improve nutrition, particularly for mothers and children. Efforts are needed to ensure that job creation is inclusive, especially for youth and women. Favorable policies and investments that would improve the performance of the sector and well-being of poor households are needed. These policies and investments include those that would facilitate fair and transparent access to grazing areas as well as markets; expand trade and related infrastructure; enhance and plan for water sources; and strengthen capacities to transform livestock into high-value products.

In addition, control of transboundary and trade-limiting livestock diseases, harmonization of approaches including sanitary and phytosanitary standards within and between countries, and support to fair and transparent local and export trade are likely to increase the contribution of the livestock trade to the economies of the region. Supporting the development of high-potential livestock and crop market systems provides the foundation for intensifying the positive contributions of agriculture and livestock to economic opportunities related to market systems and livelihoods. Expanded and inclusive livestock and crop-based economic opportunities are linked to approaches to improve access to and management of multi-use water resources and contribute to the empowerment of women.



Traders negotiate the sale of livestock at a newly built livestock market in Isiolo County, Kenya. The market was built with funding from the U.S. Government Feed the Future initiative and benefits 11,000 households. Since its construction in 2015, market days have increased from once every two weeks to once a week. Credit: USAID/Ranelle Sykes

IR 1.3. Maintaining livelihood opportunities and access to financial services

Facilitating improved and secure access to financial services will provide the capital needed to actively contribute to intensified and diversified market systems and livelihood options. Access to services such as savings, credit, money transfer, and insurance—including for the most vulnerable and with particular attention to women and youth—provides households with more flexibility and options to absorb and adapt to idiosyncratic shocks such as illness in the household and reduces the risks of displacement and urbanization. Reliable and secure access to these services, both formal and informal, even during a livelihood shock, will further promote capacities. In conflict settings, access to capital/cash transfers, as well as portable livelihood options and approaches, such as integrated settlements for refugees, are critical in strengthening resilience capacities.

IR 1.4. Increased and secure access to market infrastructure

Improved physical market infrastructure such as roads, telecommunications, and related processing facilities are a critical part of the enabling environment to increase economic well-being while contributing to the transformation of the resilience capacities of households, communities, and systems.

IR 1.5. Prioritizing private sector-led trade and investment approaches

Resilient market systems must have the capacity to effectively draw upon and allocate resources in the face of shocks and stresses in ways that maintain or improve the functioning of the market system and the wellbeing of its actors. Private sector-led trade and investment approaches that contribute to market systems resilience might include: those that support connectivity among actors based on merit, performance, and equity, not just loyalty; business strategies that add rather than extract value to the system; decision making that considers various courses of action based on evidence; competition that promotes innovation and delivers value to customers; cooperation that benefits the overall systems in contrast to collusion that extracts value at the expense of others; or diversification characterized by variation and balance in different types of products, firm sizes and structure, and marketing channels.

Objective 2 – Strengthened Institutions, Systems, and Governance

Facilitating the development of effective, inclusive, and accountable formal and informal leadership and governance mechanisms/institutions are critical to maintaining and improving economic well-being. Such local governance mechanisms would include, for example, the management of natural resources, safety nets, and mitigations of conflicts and disasters. Collective impact through the use of a complementary balance between humanitarian and development assistance investments in the roles and responsibilities of state, non-state actors, and civil society/community organizations helps develop the resilience capacities of the systems. This further contributes to social safety nets, human wellbeing, and sustained economic growth in the face of recurrent shocks and stresses.

IR 2.1. Strengthened collaboration, learning, and adaptation of state, non-state actors, and communities

Strengthening the capacity of communities, civil society and government in natural resource management (NRM) is an important element of building resilience. Facilitating the secure and equitable access to natural resources further expands economic well-being and links to Objective 1. In addition, facilitating the development of disaster risk management (DRM) plans at the community and local levels and strengthening the early warning and response capacity of local community and government institutions will build the resilience capacities of households, communities and systems.



Traders from Ethiopia, Kenya and Somalia conduct business at Moyale Livestock Market, constructed by USAID in 2016. Credit: USAID/ Tine Frank

These DRM systems link with IR 1.1. and IR 2.4. because climatic and non-climatic shocks are a major driver of conflict, and strengthened NRM contributes to reducing the drivers of conflict, itself a common shock in the arid lands in East Africa.

The USAID resilience approach acknowledges the need for state, non-state actors, and communities to work collaboratively, learning from one another as well as the dynamic changing contexts, and making changes and adapting to the local conditions. USAID recognizes that local solutions are not always by government, and that championing the efforts of organizations in civil society, private sector, sub-national, municipal, or community-level that seek effective, inclusive, and accountable solutions can be extremely valuable. USAID's sustainability approach highlights the importance of engaging and learning from and with communities, thus answering the question of what USAID partners can learn from the role, capacity, influence, and ownership of development by local communities. Development interventions that empower local communities to take charge must learn alongside them and understand their perspectives on how these initiatives change their lives.

IR 2.2. Strengthened knowledge management and communication of innovative research and practices

Critical to building resilience in the region is strengthening evidence-based learning through research, monitoring outcomes from interventions, and building a knowledge management system for sharing lessons. This can be achieved by learning from the innovative practices of others, and by generating, packaging, and using the data for decision making.

IR 2.3. Strengthened capacity and systems of local, national, and regional institutions

Strengthened local and national government institutions are essential for the leadership and governance of efforts by state and non-state actors contributing to all five objectives and associated IRs in the Framework. Leadership and government components of all IRs in the framework equally contribute to this IR.

IR 2.4. Strengthened cross-border coordination

Strengthening the capacity of community-based governance systems, civil society, and government institutions to resolve conflicts, address grievances, and reduce resource-based conflict through the development and implementation of conflict management plans will contribute to conditions for accelerated economic growth and well-being. Initiatives aimed at peace building and conflict resolution could include mediation, memoranda of understanding, treaties, protocols, and domesticating regional policies and laws, such as community bylaws.

Objective 3 – Improved and Sustained Human Capital

EDUCATION FOR WOMEN AND GIRLS: Building women's human capital can have a particularly high impact on household resilience. Higher levels of education in women are linked to better health outcomes for women and children and an increased ability to diversify income beyond subsistence agriculture. Educating girls is also linked to lower fertility rates, which reduces stress affecting the health and nutrition of women and children and reduces the burden on weak social services and limited natural resources.

Source: <https://www.resiliencelinks.org/source-of-resilience/human-capital>

Human capital is a resilience capacity that enables people to pursue new and resilient livelihood opportunities. Resilient people and households need human capital to manage adversity and change. Investments to increase educational attainment, build vocational entrepreneurship and employment skills, strengthen financial capabilities, and enhance aspirations and self-confidence play a key role in developing capacities to adapt and transform in the face of shocks and stresses. Building human capital at an early age can support safe and resilient transitions to adulthood and help to break chronic cycles of poverty. Over time, such investments can also help to shape cultural and gender norms that instill an enabling environment for systemic change. Human capital is not only a key resilience capacity, but also a key outcome related to well-being and broader transformative change.

IR 3.1 Improved educational attainment

Evidence clearly demonstrates that educational attainment at all levels is a key factor in developing resilience capacities, taking advantage of economic opportunities, and improving well-being.

Access to education opportunities, both in primary and secondary levels, is improving but remains severely constrained in the arid lands due to high cost, especially in the context of conflict and instability, poor child health and nutrition, and traditional practices. Poor curricula, teacher quality, and lack of national and local policies and resources for education further constrain access and diminish student performance. Lack of educational attainment, especially for girls, contributes to early marriage and lack of decision-making power, self-confidence, and aspirations. Evidence shows a strong correlation between women's education and lowered fertility, reduced child stunting and increased use of skilled birth attendants. In addition, higher education levels help women use information and services and diversify livelihoods. In conflict contexts, developing portable livelihood skills and ensuring access to education among the displaced would greatly enhance wellbeing in such constrained environments. Education is critical for achieving the vision of USAID's resilience approach.

IR 3.2 Improved vocational, entrepreneurship, and employment skills

LOCAL LABOR OPPORTUNITIES: Many vulnerable households rely heavily on local labor opportunities for income. Supply and demand for labor is often climate-sensitive. For example, harvest seasons cause high labor demand while casual workers need to work on their own small-scale harvest activities. On the other hand, drought can result in very low farm-related labor demand just as the most vulnerable urgently need casual labor income.

To take advantage of the expanded economic opportunities promoted in Objective I, workforce in the arid lands needs a variety of skills. Vocational and entrepreneurship skills can provide more ways to diversify livelihood options, but not all will have the aptitude or aspiration to take advantage of these opportunities. Therefore, employment is a significant livelihood option for inhabitants of the arid lands, particularly youth and those migrating to urban areas. Soft employment skills such as life skills, integrity, decision making, negotiation, and communication, that are required to make this livelihood option successful and sustainable, are essential elements of the IRs that support the development of resilience capacities. Support for the enhancement of workforce skills needs to ensure that a context-specific analysis of risk profiles—particularly climate-related risks—of the options offered are considered.

IR 3.3 Financial capabilities

Financial capability is the capacity of households to develop mechanisms to manage their resources in the face of disasters and build their resilience. Financial capability is a critical human asset that helps people and families in crisis-affected areas manage irregular income, retain assets, and break the cycle of poverty in the face of shocks and stresses. In high risk and unpredictable environments, it is critical that people have the knowledge, skills, attitudes, and self-efficacy to manage the little money they have.

Combined with access to appropriate financial services, financial capability can be a powerful source of resilience that enables people to meet day to day needs, deal with life cycle events, and anticipate, buffer, and adapt to perennial shocks that result in loss of money and property. Rapid change in access to financial services poses new challenges for people to effectively manage savings, mobile money, insurance, and loan repayments, often through mobile phones or other digital channels. The impacts of financial inclusion—a key resilience capacity—can be enhanced when people have the financial capability to use financial products and services to their best advantage.

Combined with youth education and training and gender programming, building financial capabilities prepares adolescent boys and girls for their transition to adult economic and risk management roles—as entrepreneurs, workers, and private sector actors—and empowers women and girls to close economic gender gaps.

By bolstering self-efficacy, aspirations, and the confidence to adapt, financial capabilities can further improve individuals, households, and communities' ability to recover and transform from perennial shocks that affect agriculture, natural resources, markets, health, and nutrition. Promising channels for strengthening financial capabilities include integrating financial literacy training, and messaging through schools and training institutions, community-based youth and women's groups, financial service providers, mobile phone platforms, TV shows, safety net programs, mentoring programs, behavior change communication strategies, and financial sector policies.

RAPID RISE OF FINANCIAL INCLUSION: In Kenya, formal financial inclusion has risen to 83% in 2019, up from 27% in 2006, while complete exclusion has narrowed to 11% in 2019 from 41% in 2006. The disparities in financial access between rich and poor, men and women, and rural and urban areas have also declined remarkably. Key drivers of these changes include: the growth of mobile money, government initiatives and support, and developments in information and communications technology (ICT).

Source: 2019 FinAccess Household Survey released by the Kenya National Bureau of Statistics and the Central Bank of Kenya (CBK).

IR 3.4 Aspirations, self-efficacy, and confidence to adapt

Aspirations, self-efficacy, and confidence to adapt are important psychosocial sources of resilience. Emerging evidence shows that people with aspirations and confidence to adapt are less likely to use negative coping strategies following a shock. Self-efficacy and perceived control over one's life is also positively associated with the ability to recover from shocks. In general, there is a need to improve the understanding of resilience beyond the social, institutional, and economic mechanisms that influence people's decisions in relation to shocks and stressors to include the less tangible perceptions, subjective motivations, and cognitive elements of individuals, households, and communities. More emphasis on how perceptions of well-being and social inclusion, aspirations, and future orientation affect resilience is needed.

Objective 4 – Improved and Sustained Health, Nutrition, and WASH

Increased economic well-being (Objective 1) and strengthened leadership and governance systems (Objective 2) will result in increased demand for access to and utilization of health, educational, and water, sanitation, and hygiene (WASH) services. In an active conflict or displacement context, resilience can be built by integrating humanitarian activities with developmental approaches, such as working alongside and training local health workers.

IR 4.1. Increased and sustained availability of, access to, and utilization of health services

The impact of health services on resilience capacities, economic growth, and well-being depends on the availability of health services at the community and facility levels. But, crucially, it also depends on the population's access to and utilization of the services, which rely on the physical context, but also many other "softer" issues, such as gender, women's empowerment, social capital, inclusiveness, quality of services, and satisfaction with the services. The ability to access and utilize services in a chronic shock environment requires flexibility in how the services are made available and options for households and communities to utilize the services.



USAID's partners in the field use WATEX and iGens technology to locate sites suitable for the development of water schemes—including this one near Waji, a village in Ethiopia's Somali Region. When the Waji scheme is finished, its 6 kilometers of pipeline will deliver water to three water points and four animal troughs and serve more than 12,000 people in six communities. Credit: USAID/Kelley Lynch

IR 4.2. Improved and sustained health, nutrition, and hygiene practices

Individual, household, and community health, nutrition and hygiene practices are the foundation of well-being related to health. Health-related idiosyncratic and covariate shocks also result in Objective 1 being constrained in its potential to contribute to economic growth. The success of the health system and its contribution to human capital is built on the preventive and promotive behaviors of the users of the health system.

IR 4.3. Increased and sustained availability of, access to, and utilization of WASH services

In the arid lands, availability of, access to, and utilization of water are key mediators of most of the other objectives and IRs of the framework. For instance, conflict related to water resource management is common. As women are the principal users of water for household consumption, analysis of issues related to their sustainable access to and use of water is also important. Clearly, intensification and diversification of agriculture and livestock production-related livelihoods also require a secure, sustained access to and utilization of water services. As discussed for health services above, access to and utilization of WASH services are related to a wide range of issues beyond availability of or physical access to WASH services discussed in the resilience framework.

Sanitation and hygiene are key mediators of health-related well-being, including undernutrition. Household and community health-related shocks have an equally negative impact on realization of the full benefits of increased economic opportunities (Objective 1).

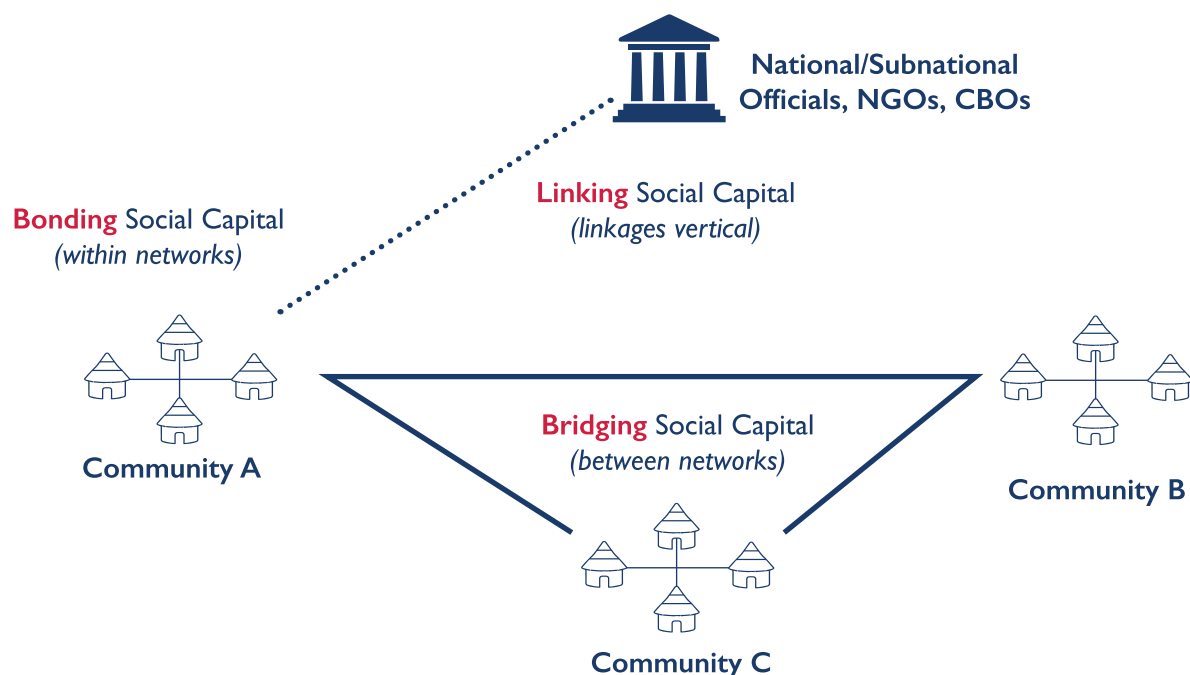
Objective 5 – Improved and Sustained Social Capital

Social capital encapsulates quantitative and qualitative components of social organizations such as networks, norms of reciprocity, and social trust that enable greater coordination and cooperation for mutual benefit. While human capital is characterized by what you know, social capital is oriented around who you know. Social capital has many forms, but in the context of the Horn of Africa, our interest is with the local-level organizations and less formal social networks. Social capital plays a role in risk-smoothing and risk-sharing practices for individuals, households, and communities, but is also an important element of adaptive capacity and ability to respond to post-disaster recovery.

Recent evidence from resilience programming across Africa shows that, in certain contexts, social capital has an important and often-intangible influence on the adaptive, absorptive, and transformative capacities of communities and their contribution to resilience.

There are three general types of social capital—bonding, bridging, and linking—with each providing different types of formal and informal support networks.

- 1) **Bonding social capital** describes ties between people in similar situations and the links between community members. Bonding involves norms, trust, reciprocity, mutual support, and cooperation. In disaster contexts, bonding social capital is on display when community members work together to survive, cope, and recover.
- 2) **Bridging social capital** connects members of one community/group with other local communities, but can also describe distant ties of like-minded individuals (friendships, work colleagues, etc.); and can cross ethnic/racial lines, geographic boundaries, and language groups. Bridging social capital facilitates linkages to external assets and broader social and economic identities, thus making a direct contribution to community resilience by tapping into additional assets when local resources are insufficient or unavailable.
- 3) **Linking social capital** is oriented around vertical linkages between households, communities, local networks, and some form of higher authority or power in the social sphere. Linking social capital is evident across more explicit, formal, and institutionalized boundaries of society and is important for providing resources that are not available within local communities for socio-economic development and resilience.



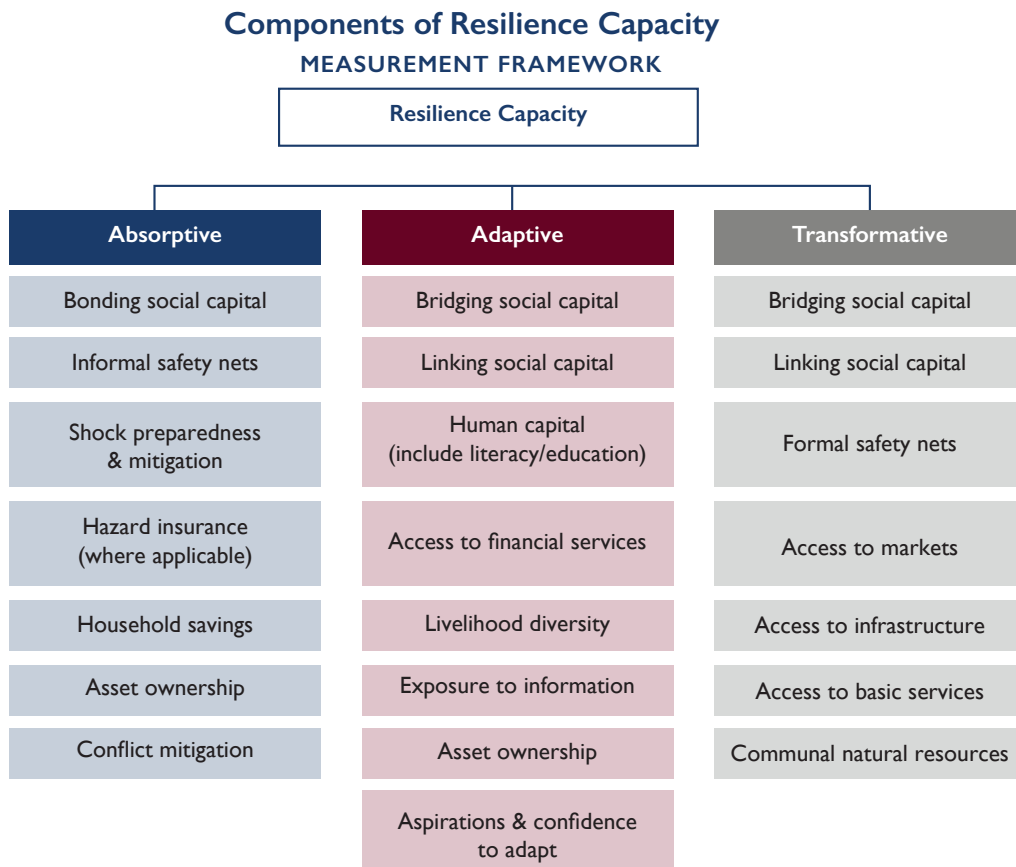
IR 5.1. Empower bonding, bridging, and linking forms of social capital

Evidence points to the importance of these types of social capital as the glue that binds other types of livelihoods assets and resilience capacities. Simple examples already used in resilience and resilient development programming include market price information systems (linking), table banking (bonding and bridging) or community development committees (bonding, bridging, and linking). The resilience approach should systematically include consideration of existing social capital, how social capital can be developed, and what the best combinations of social capital are for the circumstances and context of the arid and semi-arid lands of East Africa. Social capital, despite being effective across numerous sectors, remains highly context specific, with different individuals and communities having varied existing and potential types of social capital.

These three forms of social capital should also be important factors to consider when engaging with the aforementioned immediate results and objectives. A healthy community with strong bonding, bridging, and linking forms of social capital will be essential for expanding economic opportunities; strengthening governing institutions; improving human capital; and sustaining health, nutrition, and WASH services.

IR 5.2. Leverage social capital to improve absorptive, adaptive, and transformative capacities for responding to shocks and stressors.

Using an experiential measure of resilience, research finds that all three aspects of household resilience capacity (absorptive, adaptive, and transformative) bolster their resilience in the face of shocks and stressors. Specific factors that contribute to this resiliency include: bonding/bridging social capital, aspirations and confidence to adapt, human capital, access to formal safety nets, more diverse livelihoods, and greater access to infrastructure and financial services.



Annex C contains a more detailed matrix of resilience capacities and the three types of social capital.

IR 5.3. Incorporate women's and youth empowerment into social capital sustainability efforts

While social capital has been shown to be an important factor in communities' ability to mitigate and recover from shocks, some groups, such as women and youth, may be excluded from community networks.³ The empowerment of women and youth is a strategic source of resilience and plays a strong role in recovery and transformative processes. Empowerment can be measured by assessing their ability for community engagement, decision-making power, mobility, and personal agency.

However, marginalized groups like women and youth can face challenges in building and leveraging social capital. Their lack of assets and rights, combined with power and control dynamics that keep them on the public sphere periphery, are important considerations for understanding the specific social and cultural contexts of women and youth. In some situations social capital alone may not be sufficient to proactively adapt behaviors and external interventions may be required to strengthen local networks. Social capital can also be depleted over time, especially bridging and linking types that are more related to transformative capacities. Understanding the informal networks or "social circles" of women and youth is an important consideration, particularly in situations where networking connotes more formal attributes.



Member Hodan Kahin received 10,000 Birr in credit when the Hartisheik Rural Savings and Credit Cooperative (RuSACCO) gave out its first round of loans. Hodan used the money to diversify the goods she was selling in her shop. Seeing how the RuSACCO's members had prospered, other women from the community asked to join them. Hartisheik RuSACCO now has 48 active members. Credit:

USAID/Kelley Lynch

3 | Risk-Informed and Shock-Responsive Programming

The resilience framework explicitly recognizes that shocks and stresses are a persistent feature of the drylands of the Horn of Africa. The resilience approach represents a move away from a focus on rare mega-crises to recognition that constant smaller-scale shocks and stresses are keeping communities locked in a chronic cycle of poverty. Idiosyncratic shocks such as a death or illness in the family and covariate shocks affecting a group of households or wider geographical area (such as droughts, floods, conflict, market disruptions, and price peaks) are examples of an environment of chronic variability and change. In many cases, the constant variability and transitions in livelihoods in the Horn of Africa are a result of shocks and stresses and is the defining contextual feature of the areas targeted through a resilience approach. Including context-specific, risk-informed, and shock-responsive approaches in the analysis, planning, and implementation of each of the objectives and IRs described above is a fundamental enabler for sustainability.

Risk-Informed Programming

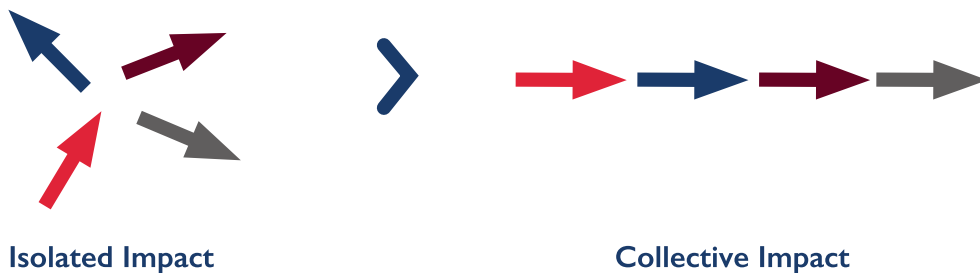
A joint analysis of shocks and stresses, including conflict and their related risks is an essential first step in risk-informed programming. An understanding of context-specific shocks then leads to including processes to anticipate, prepare for, prevent, respond to, and recover from the impact of the shocks into the planning and implementation of resilience activities across humanitarian and development programming. Risk-informed programming recognizes the perennial nature of shocks and, in many cases, the predictability of these shocks although climate change is exerting more strain in terms of accurate prediction with climate information playing the role of helping us understand how the shocks are shifting with climate change and variability.

Examples of risk-informed humanitarian aid include optimum scheduling to distribute additional resources to vulnerable communities, based on an analysis of the timing of risks of predictable shocks such as floods, peaks in disease incidence and undernutrition or climate-related conflict. Embedding humanitarian aid into wider resilience and development approaches can also contribute to resilience. For example, embedding triggers for short-term increases in direct assistance for livestock health issues into a development approach to intensifying livestock value chains can contribute to improved, resilient, and sustained economic opportunities. Risk-informed development programming is an essential feature of IRs for disaster risk management, conflict management, natural resource management, and safety nets, but should also be applied across all the IRs in the resilience framework.

Shock-Responsive Programming

Shock-responsive programming helps communities mitigate, adapt to, and recover from shocks thereby reducing losses, preventing a downward spiral of divestment leading to destitution, and protecting hard-won development gains. Communities and systems in the arid lands are becoming more resilient, and risk-informed programming can help build resilience capacities to predictable shocks. But during this process, some shocks will undoubtedly occur and overwhelm these capacities. Without direct assistance to respond and protect existing resilience and development gains, any progress will be slowed or even reversed. Therefore, an essential component of a resilience approach is ensuring that humanitarian and development programs that make up the resilience portfolio in each country have the flexibility to respond to the needs of communities and systems when their capacity is overwhelmed. While the timing of the need for shock-responsive programming may not always be predictable, the likelihood of a shock occurring in the program cycle is high and should be assumed. It is therefore essential that both humanitarian and development activities are flexible enough to respond to prominent shocks such as droughts. This flexibility should be built into the processes of design, planning, contracting, and implementation.

4 | Collective Impact Approach



Collective impact is an approach to tackle deeply entrenched and complex social problems. It is an innovative and structured approach to making collaboration work to achieve significant and lasting social change.

Collective Impact Five Elements

The five elements of collective impact that can be promoted to strengthen resilience efforts include: 1) a common agenda; 2) consistently measuring results; 3) mutually reinforcing activities; 4) continuous communication, and 5) a backbone support function.⁴ Collective impact can be utilized at community, sub-national, national, or regional levels. The power of collective action comes not from the sheer number of participants or the uniformity of their efforts, but from the coordination of their differentiated activities through a mutually reinforcing plan of action. Mutually reinforcing activities ensure that the significant efforts and activities of collaborators are aligned towards achieving the common agenda and shared measures.

Backbone Support Function

Of the five elements, the Backbone Support Function (BSF) is crucial for capacity building for resilience.

BACKBONE SUPPORT FUNCTION (BSF) is an important part of collective impact and serves as the “nerve center” and “switchboard” for communications between USAID and implementing partners. The BSF holds little governing authority, but it plays a crucial backstage role as the connective tissue between stakeholders at all levels. The BSF essentially pursues the following six common activities to support and facilitate collective impact:

Guide vision and strategy by:

- Mobilizing and coordinating all partners under a single umbrella
- Leading county meetings and relevant working groups
- Coordinating county activities
- Orienting and exiting partners

Support alignment in implementation of activities by:

- Developing county-level plans; participating in joint planning analysis; and coordinating with officials to align to county plans and priorities
- Coordinating individual partners in the county
- Ensuring that knowledge management and Geographic Information System (GIS) mapping efforts are maintained and updated quarterly

Establish shared measurement practices by:

- Working with stakeholders to improve the CLA process
- Coordinating with partners at both the local and national level to identify gaps in data collection
- Supporting county monitoring and reporting

Build political support by:

- Representing the partnership in different county forums such as county steering group (CSG) meetings, county department meetings, and engagements with external partners and local communities

Advance policy by:

- Communicating USAID policy on partnership matters
- Providing feedback from county governments to partners
- Mobilizing additional partnerships by:
- Identifying gaps in partnership activities
- Engaging county governments to complement and prioritize partnership sites for maximum impact

Source: PREG Collective Impact Approach to Resilience Toolkit

Frontstage and Backstage Roles

Related to the Collective Impact Approach is the concept of “frontstage” and “backstage” roles. Frontstage refers to formal mandates and principals, technical intervention models, and traditional M&E. The Framework’s five objectives and 19 IRs represent frontstage work. Even the Backbone Support Function undergirds frontstage work. Backstage are the functions, relationships, and processes that make all the frontstage happen. These could include: human resources working to make sure skilled and professional staff are in key positions; modern management cultures and approaches; CLA practices are implemented that learn and adapt through complexity and change; knowledge management, financial, and ICT systems are effective and efficient. As a common reference for resilience programming, the Framework’s front stage “performance” will largely be a reflection of these backstage processes.

5 | Fragile States, Urban/Peri-Urban Areas, and Durable Solutions

Resilience in Fragile States

Building resilience in any environment is a challenge, but when combined with working in fragile states, HoRN partners face additional complexity due to conflict/insecurity, environment, climate change, and internally displaced peoples/refugees. This reality necessitates the use of a complex systems approach to address fragile and conflict-affected ecosystems.

Community-Centric Resilience in Fragile and Complex Ecosystems⁵

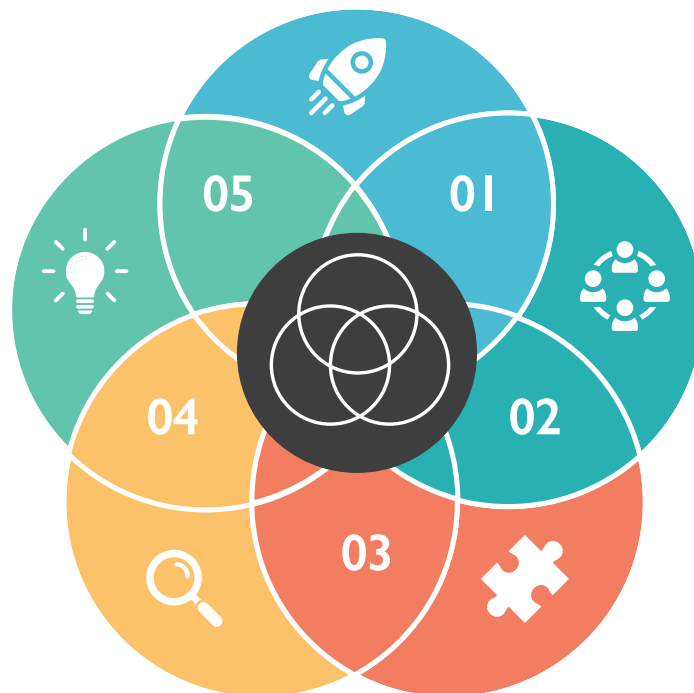
Three Community Resilience Elements and 10 Factors

Starting at the center of this multi-dimensional Venn diagram, a community-centric approach oriented around a group of individuals that share similar characteristics and levels of exposure to certain shocks and stressors, and is thus defined in a non-geographical sense. A community's institutions and resources are interconnected through social networks or adaptive facilitators, which in turn can create positive and/or negative feedback loops among these three interlinked circles. In this context we can look at three elements of community resilience—institutions, resources, and adaptive facilitators and their ten associated factors

Institutions: 1) Legitimacy, 2) Effectiveness

Resources: 3) Availability, 4) Performance, 5) Diversity, 6) Redundancy

Adaptive Facilitators: 7) Networks, 8) Values and Behaviors, 9) Innovation, 10) Institutional Memory



Five Components of a Wider Ecosystem

Surrounding these communities are five interconnected and interdependent components of a wider ecosystem in which shocks and stresses are embedded: 1) Environment, 2) Security, 3) Economic, 4) Political, and 5) Social. Shocks in one component can ripple across the others, further exacerbating a fragile system. However, if the three community elements and 10 factors within them are resilient, they can collectively insulate a community and help them withstand shocks and stressors arising from the wider ecosystem.

Annex D contains more information on these three elements, ten factors, and their relationship across the five components of the ecosystem.

BUILDING BLOCKS TO BUILD RESILIENCE COMMUNITIES: USAID's Center for Resilience conducted a case study in South Sudan of the Partnership for Recovery and Resilience (PfRR). The goal was to examine the connective tissue—social bonds and institutional architecture—that binds communities, how that tissue responds to shocks, and how international assistance can strengthen social cohesion; and gather lessons learned. The PfRR consists of eight building blocks that provide a framework for building resilient communities within fragile states. Annex E details these eight building blocks.

Source: USAID A Partnership to Scale Resilience in a Fragile State

Resilience in Urban and Peri-Urban Areas

The Horn of Africa Resilience Network works in predominantly rural and dryland regions, but urban and peri-urban areas are important geographies to consider. The unsustainable patterns of unplanned and urban development can result in widespread contamination and depletion of natural resources. Urban and peri-urban areas can have a disproportionate impact on freshwater supplies, marine ecosystems, pollution levels, national budgets, critical land use, and thus hinder national-level economic growth and the Journey to Self-Reliance. USAID's Environmental and Natural Resource Management (ENRM) Framework has two priority areas: 1) improving natural resource management for self-reliance; and 2) improving urban systems for a cleaner environment and enhanced human well-being. The implementation of these two priorities is supported by three cross-cutting principles:

- 1) Strengthening the governance of municipalities and utilities to adopt the inclusive management of natural resources.
- 2) Improve strategic, transparent, and inclusive planning processes.
- 3) Develop innovative partnerships, including with new and underutilized partners, especially the private sector.

Across the countries of focus within the HoRN, there are numerous displacement affected communities made up of IDPs, refugees, and host-communities, located in a range of circumstances. These groups are often marginalized by prohibitive legal status, social discrimination, and uncertain future prospects, and require a significant portion of emergency humanitarian resources.

Durable solutions to this crisis often incorporate: 1) local integration, 2) voluntary repatriation to the area of origin in safety and dignity, and 3) resettlement in a third location. Layered on top of displacement-derived challenges, most displacement affected communities face further shocks and stresses associated with their location.

Challenges related to insecurity, protection, and basic standards of humanitarian wellbeing are common place.

DURABLE SOLUTION ELEMENTS FROM SOMALIA:

- Creating durable solutions requires a multi-stakeholder and sectorial, rights and needs based programming approach.
- The process must be viewed as a collective action rather than mandate driven based on an inclusive, participatory, and consensus building approach.
- The national government, regional administrations, and local authorities have the primary responsibility, and they need to be supported to be able to play a leadership and coordinating role.
- Developing area based solutions analysis (localization of aid) is paramount due to limited absorption capacity, prevailing protection concerns, and persistent security and access issues.
- Community engagement is critical to inform reintegration analysis and programing to make solutions lasting, locally relevant and supportive of social cohesion and to adopt a 'displacement affected communities' approach- inclusive of returnees, IDPs, and host communities.
- Involve development actors from the start to inform medium to long term sectorial priorities complementing humanitarian interventions.

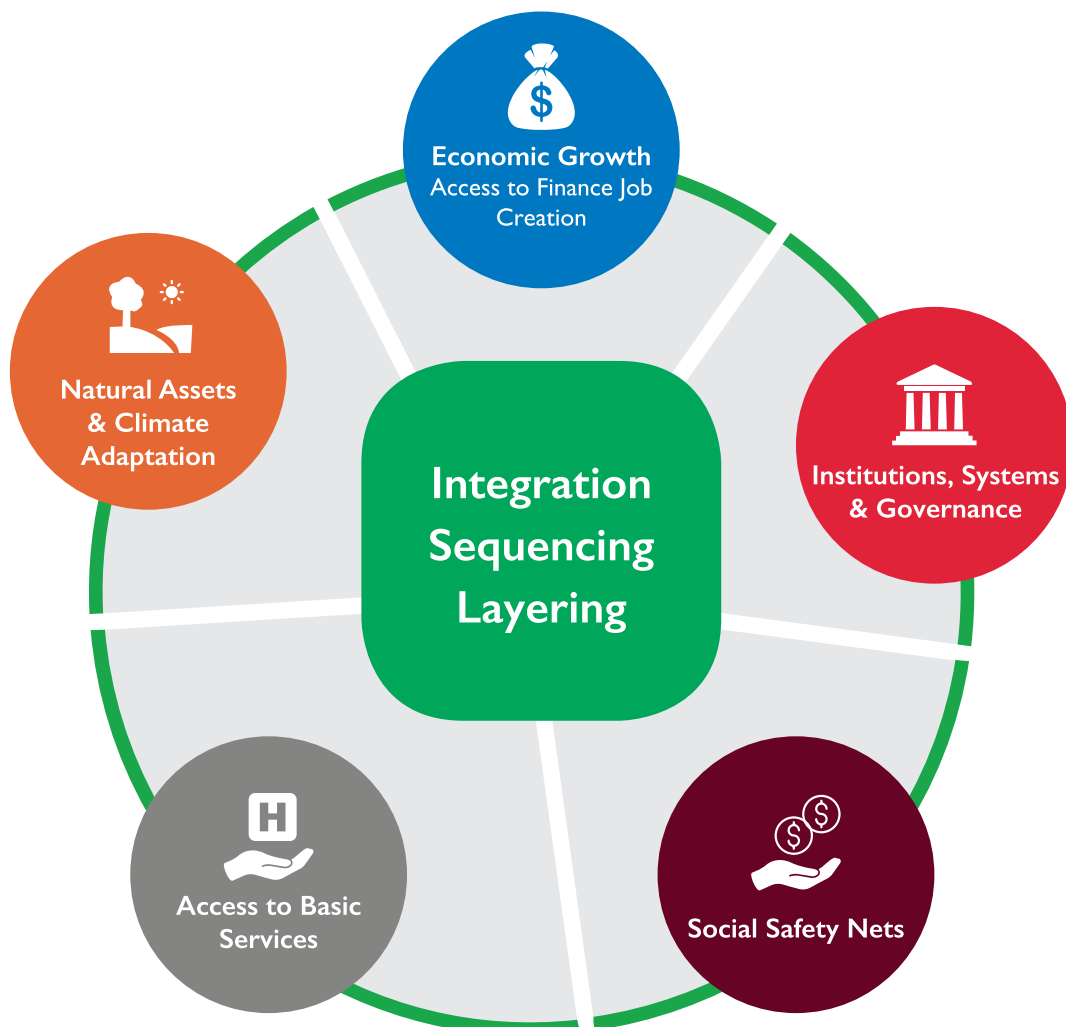
Source: ReDSS Durable Solutions Framework—Local Integration Focus: Lower Juba Region, Somalia, November 2016

6 | Sequencing, Layering, and Integration

By working together better, USAID partners, activities, processes, and structures will increase the resilience of chronically vulnerable individuals, households, communities, and systems. **Sequencing, Layering, and Integration (SLI)** is an operational expression of how to do this. The assumption is that collective impact will be promoted and result in a synergistic effect on resilience capacities.

Sequencing, Layering, and Integration

The SLI formulation is not intended to imply that development of resilience capacities is possible only through one of these approaches. Resilience capacities are relevant to all IRs and objectives and are a necessary condition to achieve all outcomes in a complex risk environment. Evidence suggests that working across and transcending sectors that touch on the economic, social, ecological, governance, natural resource management and climate adaptation can develop resilience capacities more effectively and efficiently. SLI starts with joint analysis and planning. Opportunities to sequence, layer, and integrate should be considered in analysis and planning, interventions, funding streams, and humanitarian and development programming, as discussed above in the section on shock-responsive programming. It should also be considered across levels: community, sub-regional, regional, and national.



Sequencing describes the development of resilience capacities as a dynamic process where progress involves changes in the focus for support as the resilience capacities increase (or decrease) and the context and environment changes. Sequencing of development interventions and funding streams can also be linked to sequencing of humanitarian interventions and funding streams, either as part of a continuum from emergency to development or as a shock-responsive or risk-informed humanitarian contribution to protecting livelihoods and lives.

Layering describes the development of resilience capacities requiring a wide range and multiple layers of intervention and support. No single intervention or funding stream is capable of dealing with the system-wide issues related to resilience capacities. Based on the joint analysis, layering involves targeting the same people and communities with several complementary interventions using the resilience approach.

Integration represents the concept of bringing together the components of a resilience approach to more effectively and efficiently achieve the vision and objectives of the resilience approach.

7 | Resilience Capacities

USAID defines resilience as the ability of people, households, communities, countries, and systems to mitigate, adapt to, and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth.

Fundamental to this definition is that resilience is shaped by a set of capacities that enable people to absorb and recover from shocks and stresses, while adapting and transforming their communities and livelihoods to withstand future events. Important to measuring resilience is that these capacities are used in the face of shocks and stresses, and measured against well-being and other core development outcomes of interest. Components of a resilience analysis are described below:

- **Capacities** that people, groups, or systems draw on to manage or adapt to shocks and stressors – such as livelihood opportunities, social networks, or access to and use of essential services.
- **Shocks and stresses** that individuals, households, communities or systems are exposed to, such as droughts, conflict, food-price spikes, or illness.
- **Development (or well-being) outcomes**, such as food security, improved health, or reduced poverty, that people seek to maintain or quickly recover when faced with a shock or stress.

How to Analyze and Measure Resilience⁶

Analyzing and measuring resilience is different from measurement of other program objectives or concepts in several ways:

1) **Resilience Demands a Contextualized, Systems Approach**

Resilience measurement requires understanding the dynamic, complex, and interrelated social, ecological, political, and economic systems within which communities exist. As such, practitioners will need to appropriately identify, understand, measure, and address the specific shocks, stresses, and resilience capacities across and within systems.

2) **Resilience is Not an End But Ongoing Capacity**

Typically, when evaluating impact changes in well-being and development outcomes (such as poverty, nutritional status, educational attainment, or health), they are tracked over time. Resilience, in contrast, is not a well-being outcome in and of itself. Rather, resilience represents the combined abilities, driven by certain capacities, that shape how and why outcomes change over time, specifically in the face of shocks and stresses.

3) **Measuring Resilience is a Long-term Commitment**

Programmatically, strengthening resilience is a long-term commitment that cannot be achieved within a single project cycle. It must be a coordinated effort across a portfolio of activities spanning multiple project cycles. Resilience measurement efforts must therefore respond to this programmatic demand by making holistic and context-specific analyses, both within and beyond project timelines. To this end, resilience measurement captures dynamics between shocks, responses, and effects.

Guiding Questions for Resilience Analysis and Measurement Processes

Resilience measurement should aim to develop in-depth understanding of the complex risk environments in which we operate, as well as the factors that help individuals, households, and communities manage and adapt to risk. To that end, there are five critical guiding questions that facilitate resilience measurement across assessment, monitoring, and evaluation:

- 1) *Resilience for Whom?*: The target populations and their attributes that include location (urban, peri-urban, rural), demographic factors (sex, age, ethnicity), and livelihood (agriculture, trade, unskilled labor).
- 2) *Resilience of What?*: The enabling environment, including formal and informal institutions, infrastructure, social, ecological, and economic factors that impact the target population's ability to anticipate, absorb, and adapt to risks.
- 3) *Resilience to What?*: The complex and compounding shocks and stresses that impact people's capacities to achieve development outcomes.
- 4) *Resilience Through What?*: The absorptive, adaptive, and transformative capacities that strengthen the ability of target populations to mitigate risk.
- 5) *Resilience to What End?*: The primary well-being or development outcomes for which we want to build resilience.

8 | Key Themes

Two sector-transcending themes are important for a resilience approach and describe essential elements of program planning for resilience—Collaboration, Learning, and Adapting; and Gender, Youth, and Aspirations.

Collaboration, Learning, and Adapting (CLA)

The USAID resilience approach highlights the need for learning—an essential element of resilience because the approach is new, involves learning about a process, and requires a systems thinking approach rather than an activity-based approach. Learning is also important because resilience approaches are used in areas where change is a constant characteristic of the environment, and context and environment are key mediators of the outcomes and impacts of resilience approaches. Therefore, to be successful, resilience approaches should be adapted to the local culture, context, and environment—that is, finding local solutions to local problems. Because of the dynamic environment, learning about local solutions needs to be transferred into action using an adaptive management method where context and change specific adaptations are made in an iterative fashion.

The need for CLA applies to individuals, households, communities, and systems, as well as to USAID, partners, and networks that are supporting the development of resilience capacities. A resilient community needs to have the capacity to learn about what works, understand what the risks of each option are, have the skills to choose the best strategy for the given circumstances, and learn how to further adapt that strategy to changing local conditions. The same is true of the arid lands' livelihood systems and a USAID partner's program intervention.



Angela Lokinei enjoys tending to her kitchen garden with her children in Isiolo County, Kenya. The garden produces enough spinach and kale for consumption at home. Credit: USAID/Eric Onyiego

Gender, Youth, and Aspirations

Gender is one of the most important mediators of how the context and environment interact with the resilience capacities of individuals, households, and communities. Exposure and sensitivity to a shock or stress usually differs according to gender, so a context-specific, risk-informed approach to an objective (such as Objective 1: Sustained expanded economic opportunities) will require a specific analysis and adaptation of programming based on gender factors that include consideration of women's empowerment.

For example, 60% of all maternal deaths occur during humanitarian crises. Women and young girls are most vulnerable during crises and their lives are disproportionately influenced not only by shocks and stressors, but also their ability to proactively mitigate risk and build their resilience capacity.⁷

Youth make up a significant proportion of the population in the arid lands. As they develop their resilience capacities, they are particularly affected by the rapid and deep livelihood transitions that populations are experiencing there. A focus on supporting their ability to build productive livelihood assets for this part of the population is assumed to have some of the most significant potential to rapidly achieve the vision of the resilience approach.

Recent research suggests that individual welfare and resilience are closely related to an individual's **aspirations** for the future. Recent research in Eastern Africa (Ethiopia) has shown that positive aspirations are associated with greater resilience to shocks and stresses, and has pointed to a link between low self-esteem, low aspirations, and a fatalistic view among the poor and their inability to take action to improve their material well-being. These would be particularly disabling in the face of shocks, which require quick adaptation to successfully cope. Thus these psychosocial capabilities (absence of fatalism, belief in individual power to enact change, and exposure to alternatives of the status quo) are important for fostering resilience in the face of shocks.

Evidence of Aspiration and Self-Efficacy: Survey data during the 2014/15 Ethiopian drought revealed that people with a higher sense of control over their own lives are less likely to engage in negative coping strategies and that these people had a better actual ability to recover from shocks. Aspirations and confidence to adapt also increased household resilience to the drought. Similarly, data from the Sahel show that households' aspirations and confidence to adapt were positively associated with food security and ability to recover from shocks. Other studies emphasize the need to expand analysis beyond conventional factors such as assets, capacities, capitals, or governance and to consider less tangible elements, such as risk perception, self-efficacy, or aspiration. In order to understand the determinants of people's resilience, better insights are needed not only into the social, institutional, and economic mechanisms that influence people's decisions in relation to shocks and stressors, but also around the perceptions, subjective motivations, and cognitive elements of individuals, households, and communities. Communities that suffer conflict and violent extremism are burdened with additional primary trauma and secondary trauma, which further impairs aspirations and self-efficacy.

Source: <https://resiliencelinks.org/source-of-resilience/aspirations>

Annexes

Annex A: Comparison of IGAD's Drought Disaster Resilience and Sustainability Initiative (IDDRSI) Strategy with HoRN Regional Resilience Framework 3.0

IDDRSI Priority Intervention Areas (PIAs)	HoRN Resilience 3.0 Framework Intermediate Results (IRs)
1. Natural Resources and Environment Management <ul style="list-style-type: none"> 1.1. Water resources development and management 1.2. Rangeland management and pasture development 1.3. Securing equitable access to natural resources 1.4. Environmental management including biodiversity 1.5. Development of renewable energy 	<ul style="list-style-type: none"> IR 2.1. Strengthened collaboration, learning and adaptation of state, non-state actors, and communities IR 2.3. Strengthened capacity and systems of local, national and regional institutions
2. Market Access, Trade and Financial Resources <ul style="list-style-type: none"> 2.1. Transport, market, and infrastructure development 2.2. Security livestock mobility 2.3. Access to secure and affordable financial services 2.4. Strengthening regional and cross-border trade 2.5. Development and harmonization of financial services in the IGAD region 	<ul style="list-style-type: none"> IR 1.1. Diversified, sustainable and resilient economic opportunities IR 1.3. Maintaining livelihood opportunities and access to financial services IR 1.4. Increased and secure access to market infrastructure IR 1.5. Prioritizing private sector-led trade and investment approaches IR 4.2. Improved and sustained health, nutrition, and hygiene practices IR 4.3. Increased and sustained availability of, access to, and utilization of WASH services.
3. Enhanced Production and Livelihood Diversification <ul style="list-style-type: none"> 3.1. Livestock production, health, and nutrition 3.2. Crop production and productivity 3.3. Fisheries development 3.4. Income diversification 3.5. Productive safety net (chronically food insecure) 3.6. Productive safety net 2 (graduating from safety net) 3.7. Transboundary Disease and SPS Measures and Standard 	<ul style="list-style-type: none"> IR 1.2. Intensified, sustainable and resilient agricultural and livestock market systems IR 1.1. Diversified, sustainable and resilient economic opportunities IR 1.2. Intensified, sustainable and resilient agricultural and livestock market systems

4. Disaster Risk Management 4.1. Early warning systems and Response 4.2. Contingency planning 4.3. Disaster risk reduction and climate change adaptation 4.4. Reduction of vulnerability to climate related hazards and natural disasters	IR 2.1. Strengthened collaboration, learning and adaptation of state, non-state actors, and communities
5. Research, Knowledge Management, and Technology Transfer 5.1. Support to applied adaptive research 5.2. Advisory and extension services 5.3. Knowledge management and communication 5.4. Promote the network of national and regional dryland collaborative, adaptive, and applied research centers 5.5. Alignment of applied and adaptive research with development priorities of the resilience agenda	I.R 2.2. Strengthened knowledge management and communication of innovative research and practices. IR 2.1. Strengthened collaboration, learning and adaptation of state, non-state actors, and communities
6. Peace Building, Conflict Prevention, and Resolution 6.1. Peace building and mediation mechanisms 6.2. Conflict resolution 6.3. Increase peaceful settlement of conflicts in ASALs	IR 2.4. Strengthened cross-border coordination IR 2.1. Strengthened collaboration, learning and adaptation of state, non-state actors, and communities
7. Coordination, institutional strengthening, and partnerships 7.1. Coordination and platform management 7.2. Institutional strengthening and capacity building 7.3. Enhancing partnerships 7.4. Resource mobilization 7.5. Monitoring, Evaluation, and Learning	IR 2.1. Strengthened collaboration, learning and adaptation of state, non-state actors, and communities IR 2.3. Strengthened capacity and systems of local, national and regional institutions
8. Human Capital, Gender, and Social Development 8.1. Access to health and nutrition 8.2. Access to education and training 8.3. Promote gender equality, women's empowerment.	IR 3.1 Improved educational attainment IR 3.2 Improved vocational, entrepreneurship and employment skills IR 3.3 Financial capabilities IR 3.4 Aspirations, self-efficacy and confidence to adapt IR 4.1. Increased and sustained availability of, access to, and utilization of health services IR 4.2. Improved and sustained health, nutrition, and hygiene practices

	<p>IR 4.3. Increased and sustained availability of, access to, and utilization of WASH services.</p> <p>IR 5.1. Empower bonding, bridging, and linking forms of social capital.</p> <p>IR 5.2. Leverage social capital to improve absorptive, adaptive, and transformative capacities for responding to shocks and stressors.</p> <p>IR 5.3. Incorporate women and youth empowerment into social capital sustainability efforts.</p>
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Annex B: Five Key Elements of Collective Impact

- 1) **Common Agenda:** All partners share a vision for change and have a common agenda, including a shared understanding of the problem and a joint approach to solving it through agreed-upon actions.
- 2) **Backbone Support Function:** A team or secretariat with a specific set of skills to serve the entire initiative and coordinate participating organizations and agencies.
- 3) **Continuous Communication:** Open and continuous communication is needed across many players to build trust, assure mutual objectives, and create common motivation.
- 4) **Shared Measurements:** Collecting data and measuring results consistently across the partnership for alignment and accountability. Partners also agree to measure or monitor many of the same indicators to learn across the initiative and hold each other accountable.
- 5) **Mutually Reinforcing Activities:** A plan of action that outlines and coordinates mutually reinforcing activities for each partner/organization. Activities are described as “mutually reinforcing” because they are designed to remind all participants that they depend on each other to move the initiative forward. Mutually reinforcing activities ensure that the activities of the participants are aligned, directed towards shared measurement, and are making progress towards common goals.

Annex C: Social Capital and Resilience Capacities

	Bonding Social Capital	Bridging Social Capital	Linking Social Capital
Absorptive Capacity	<p>Evident in informal social protection:</p> <ul style="list-style-type: none"> Community-based early warning Community-based dissemination/diffusion of critical information (e.g., plans/available resources in the face of a disaster, post-disaster entitlements) Community-based risk sharing (e.g., savings and credit groups, funeral associations) Sharing resources (food, cash/loans, labor, childcare, tools, transportation). <p>Bonding social capital works well for idiosyncratic risks, when only one or a few households are potentially affected: they can turn to unaffected households.</p>	<p>Evident in community-to-community support during disasters: Unaffected communities share resources with disaster-affected ones (e.g., remittances), Unaffected communities share knowledge, expertise, and networks based on their own experiences of similar shocks Inter-community communication/sharing of technologies, innovations. Bridging social capital works well for covariate risks: unaffected communities can support communities that have experience or are vulnerable to a shock.</p>	<p>Community-based organizations formed in response to disasters can provide community members with voice and leverage in decision-making in externally-supported rebuilding efforts. Linking social capital facilitates a feedback loop between grassroots and policy/formal governance regarding covariate risks, e.g., collaboration over climate information gathering and dissemination: government agencies, research institutions, media.</p>
Adaptive Capacity	<p>Bonding social capital is more limited in applications to adaptive capacity. Exceptions: close relationships between community members facilitate adoption of proven practices for income generation, health and nutrition, and climate change. Women-led Village Savings and Loan Associations can promote women's empowerment, greater livelihood diversification, and climate adaptation.</p>	<p>Bridging social capital facilitates dissemination and multiplier effects of proven good practices. Formal and/or informal ties between communities in different agro-ecological zones can contribute to livelihood diversification and protection from adverse seasonal trends affecting agricultural productivity. Exposure to models and experiences in other communities can inform and broaden aspirations and thereby encourage trying new practices.</p>	<p>Adaptive capacities strengthened through collective action can compel formalization or strengthening of structures that can have an impact at higher levels, e.g., people resettled into new areas as a protection measure or in the aftermath of a disaster form new networks and institutions (farmers' unions, women's associations) beyond the immediate community.</p>

Transformative Capacity		Relationships forged to realize one community function can be applied to other functions: increased exposure to other groups in markets (formal or informal, as along roadsides) can help to mitigate conflict as different groups become more familiar with each other over common interests. School-based programs (e.g., school feeding, meal preparation) that engage families from otherwise warring factions can improve their interrelationships and reduce antagonism.	Strong vertical linkages are essential to realizing transformative capacities. These are evidenced in a variety of areas: infrastructure investment land reform pro-poor policies government accountability mechanisms equitable allocation of entitlements policies informed by representative participation of different community sectors (sociocultural groups; women/men; elderly/youth; disabled).
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Source: Feed the Future, *Community Resilience: Conceptual Framework and Measurement*, October 2013

Endnotes

1. Annex A contains a comparison of IGAD's IDDRSI priority intervention area strategy and the HoRN Resilience Frame 3.0
2. <https://www.fsnnetwork.org/sites/default/files/Measuring%20Resilience%20in%20Ethiopia%20Presentation.pdf>
3. <https://www.resiliencelinks.org/source-of-resilience/social-capital>
4. Annex B contains more details on these five elements.
5. For more information on a complex systems approach, see USAID's A Framework for Resilience in Fragile and Conflict-Affected Situations 2013, produced by Alejandra Kubitschek, et. al. at Columbia University SIPA.
6. Henly-Shepard, S. and Sagara, B. (2018). *Resilience Measurement Practical Guidance Note Series: An Overview*. Produced by Mercy Corps as part of the Resilience Evaluation, Analysis and Learning (REAL) Associate Award.
7. <https://www.newsecuritybeat.org/2017/10/takes-village-communities-key-resilient-health-system/>



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